



**UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office**

Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
09/322,770	05/28/99	SHINOBU	R 87-146-R

0242/0622

ERIC M BRAM
CATERPILLAR INC
100 N E ADAMS ST
PEORIA IL 61629-6490

NOT ASSIGNED

3747

DATE MAILED:

06/22/99

NOTICE OF INCOMPLETE APPLICATION

A filing date has NOT been assigned to the above identified application papers for the reason(s) indicated below.

All of the items noted below, unless otherwise indicated, must be submitted within **TWO MONTHS** of the date of this Notice, or the application may be returned or otherwise disposed of. Any fee which has been submitted will be refunded less a \$130.00 handling fee. (37 CFR 1.53(c)).

The filing date will be the date of receipt of all items required below, unless otherwise indicated. Any assertions that the items required below were submitted, or are not necessary for a filing date, must be by way of petition directed to the attention of the Office of the Assistant Commissioner for Patents accompanied by the \$130.00 petition fee. (37 CFR 1.17(i)). If the petition states that the application is complete, a request for refund of the petition fee may be included in the petition.

☐ 1. The specification (description and claims):

- ☐ a. is missing.
- ☐ b. does not include a written description of the invention.
- ☐ c. does not include at least one claim as prescribed by 35 U.S.C. 112.

A complete specification (including at least one claim in a nonprovisional application) as prescribed by 35 U.S.C. 112 is required.

☐ 2. The application was deposited without drawings. 35 U.S.C. 113 (first sentence) requires a drawing "where necessary for the understanding of the subject matter sought to be patented."

Applicant should reconsider whether drawings are necessary under 35 U. S. C. 113 (first sentence).

☐ 3. The inventor's name(s) is missing.

The full names of all inventors are required in compliance with 37 CFR 1.41.

☐ 4. OTHER:

Additional observations on the above-identified application papers:

- ☐ 1. Pages _____ of the specification are missing.
- ☒ 2. Figures 1-10 described in the specification are missing.

Direct the response and any questions about this notice to "Attention: Box Missing Parts."

Enclosed:

- ☒ "General Information Concerning Patents." See page _____.
- ☒ "Notice to File Missing Parts of Application," Form PTO-1532.
- ☐ "Checklist for Patent Applications."
- ☒ Other: Response to Office Action dated 06/22/99

A copy of this notice MUST be returned with the response.

Customer Service Center
Initial Patent Examination Division (703) 308-1202



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Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
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07/22/2000 07/22/2000 DEPTOUCET 100-1-10000

ERIC M. BRAM
CATERPILLAR INC
100 N.E. ADAMS ST
PEORIA IL 61629-6490

07/22/06/22

100-1-10000

07/22

DATE MAILED:

06/22/2000

NOTICE TO FILE MISSING PARTS OF APPLICATION

No Filing Date

(Enclosure to Form PTO-1123)

The required items noted below SHOULD be filed along with any items required on the "Notice of Incomplete Application." If the concurrent filing of all required items is not possible, the items noted below must be filed no later than TWO MONTHS FROM THE FILING DATE ACCORDED THIS APPLICATION. The filing date of this application will be the date of receipt of the items required on the "Notice of Incomplete Application." If items 1 and 3-5 below are submitted after the filing date, THE PAYMENT OF A SURCHARGE OF \$ 125.00 for a ☒ large entity ☐ small entity in compliance with 37 CFR 1.27 will also be required (37 CFR 1.16(e)).

If all required items on this form and on the "Notice of Incomplete Application" are filed together, the total amount owed by applicant as a ☒ large entity ☐ small entity is \$ 0.00.

- ☐ 1. The statutory basic filing fee is:

- ☐ missing.
☐ insufficient.

Applicant must submit \$ _____ to complete the basic filing fee and/or file a verified small entity statement claiming such status (37 CFR 1.27).

- ☐ 2. Additional claim fees of \$ _____, including any multiple dependent claim fees, are required.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

- ☒ 3. The oath or declaration:

- ☒ is missing.
☐ does not cover the items required on "Notice of Incomplete Application."
☐ does not identify the application to which it applies.
☐ does not include the post office address and the city and state or foreign country of applicant's residence.
An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Receipt Date is required.

- ☐ 4. The signature(s) to the oath or declaration is/are:

- ☐ missing.
☐ by a person other than the inventor or person qualified under 37 CFR 1.42, 1.43, or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, referring to the above Application Number and Receipt Date, is required.

- ☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration: _____
An oath or declaration signed by the omitted inventor(s), identifying this application by above Application Number and Receipt Date, is required.

- ☐ 6. A \$ _____ processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

- ☐ 7. The application does not comply with the Sequence Rules. See attached "Notice To Comply with Sequence Rules 37 CFR 1.821-1.825."

- ☐ 8. OTHER:

Direct the response and any questions about this notice to "Attention: Box Missing Parts."

A copy of this notice MUST be returned with the response.

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UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

09/02/97 770 06/28/99 SHINDOHEI

Application Number:

Application to Paper Number: 37-146-F

0242/0622

ERIC M BRAM
CATERPILLAR INC
100 N E ADAMS ST
PEORIA IL 61629-6490

NOT ASSIGNED

**REISSUE SUPPLEMENT TO NOTICE TO FILE MISSING
PARTS OF APPLICATION**

3747

06/22/99

This Reissue Supplement is an attachment to:

- ☐ "Notice to File Missing Parts of Application" Filing Date Granted (PTO-1533)
- ☒ "Notice to File Missing Parts of Application" No Filing Date Granted (PTO-1532)

The item(s) indicated below as missing must be filed within the period for reply to the attached Notice to File Missing Parts of Application to avoid abandonment.

The following items are required to complete the reissue application:

- ☒ Consent of the assignee is missing. 37 CFR 1.172 requires that the reissue oath/declaration be accompanied by the written consent of all assignees.
- ☒ Assignee's statement under 37 CFR 3.73(b) establishing ownership of the patent is missing. 37 CFR 1.172 requires that all assignees consenting to the reissue establish their ownership interest in the patent by filing in the reissue application a statement in accordance with 37 CFR 3.73(b).

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